



PATENT APPLICATION  
6476/53629

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02.27.02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Pruitt

Serial No.: 10/037,563

Filed: 12/21/2001

Title: Portfolio Management System

Attorney Docket No.: 6476/53629

Group Art Unit: 2164

Examiner:

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FEB 22 2002

Technology Center 2100

Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

This Information Disclosure Statement is submitted:

☒ under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of international application; or before mailing date of first office action on the merits; whichever occurs last)

☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement under 37 CFR 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

☐ under 37 CFR 1.97(d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

☒ Applicant(s) submit herewith Form PTO 1449-Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

The relevance of the attached references is that this is the closest art of which Applicant is aware. Applicant submits that the above references taken alone or in combination neither anticipate nor render obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

It is requested that the information disclosed herein be made of record in this application.

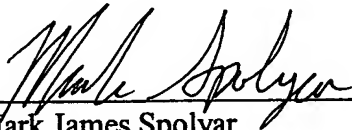
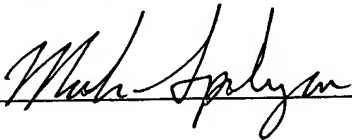
Respectfully submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: February 8, 2002

Typed Name: Mark J. Spolyar

Signature: \_\_\_\_\_

  
\_\_\_\_\_  
Mark James Spolyar  
Attorney/Agent for Applicant(s)  
Reg. No. 42164

Date: February 8, 2002

Telephone No.: 415-826-7966



Please type a plus sign (+) inside this box → ☐

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031  
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Substitut for form 1449B/PTO		<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		<b>Complete if Known</b>	
Application Number		Filing Date	12/21/2001	<b>RECEIVED</b> FEB 22 2002 Technology Center 2100	
First Named Inventor	Pruitt	Group Art Unit			
Examiner Name		Attorney Docket Number	6476/53629		
Sheet	2	of	2		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		JEAN L.P. BRUNEL, "Tax-Aware Equity Investing", Association for Investment Management and Research.	
		JEAN L.P. BRUNEL, "Tax-Aware Portfolio Construction," Association for Investment Management and Research.	
		JEAN L.P. BRUNEL, "The Upside-Down World of Tax-Aware Investing," TRUSTS & ESTATES (Feb. 1997).	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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